

FORM PTO-1390 (Modified)
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

14952

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

09/937272

INTERNATIONAL APPLICATION NO.

PCT/JP00/01820

INTERNATIONAL FILING DATE

24 March 2000 (24.03.00)

PRIORITY DATE CLAIMED

24 March 1999 (24.03.99)

TITLE OF INVENTION

METHOD FOR CONTROLLING MELT AND METHOD FOR GROWING CRYSTAL

APPLICANT(S) FOR DO/EO/US

Takeshi Azami**Taketoshi Hibiya****Shin Nakamura**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☒ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/ISA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Seven (7) Sheets of Drawings**Assignees: NEC Corporation of Tokyo, Japan;****National Space Development Agency of Japan, of Tokyo, Japan; and****The Japan Space Forum, of Tokyo, Japan**

U.S. APPLICATION NO. (IF KNOWN, SEE P. 1.5) <div style="font-size: 1.5em; font-weight: bold; text-align: center;">09/937272</div>	INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; text-align: center;">PCT/JP00/01820</div>	ATTORNEY'S DOCKET NUMBER <div style="text-align: center;">14952</div>
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24. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1000.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 <div style="text-align: right; font-weight: bold;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>	<div style="text-align: center; font-weight: bold;">CALCULATIONS PTO USE ONLY</div> <div style="border: 1px solid black; padding: 5px;"> <div style="text-align: right; font-weight: bold;">\$860.00</div> </div>
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Surcharge of \$130.00 for furnishing the oath or declaration later than _____ months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30		\$0.00
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CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	15 - 20 =	0	x \$18.00	\$0.00
Independent claims	1 - 3 =	0	x \$80.00	\$0.00
Multiple Dependent Claims (check if applicable) <input checked="" type="checkbox"/>				\$270.00
TOTAL OF ABOVE CALCULATIONS =				\$1,130.00

Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.		\$0.00
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SUBTOTAL =		\$1,130.00
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Processing fee of \$130.00 for furnishing the English translation later than _____ months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30		\$0.00
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TOTAL NATIONAL FEE =		\$1,130.00
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>		\$0.00
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TOTAL FEES ENCLOSED =		\$1,130.00
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	Amount to be: refunded charged	\$ \$
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a. <input checked="" type="checkbox"/> A check in the amount of <u>\$1,130.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-1013/SSMP</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.	<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <div style="text-align: center; font-weight: bold;">SIGNATURE</div> <div style="text-align: center;"> </div> <div style="text-align: center;"> Paul J. Esatto, Jr. NAME 30,749 REGISTRATION NUMBER September 24, 2001 DATE </div> </div>
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NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

 SEND ALL CORRESPONDENCE TO:

Paul J. Esatto, Jr.
 SCULLY, SCOTT, MURPHY & PRESSER
 400 Garden City Plaza
 Garden City, NY 11530
 (516) 742-4343

09/937272

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Docket No.

14952

Applicant(s): Takeshi Azami, et al.

Serial No.
unassigned

Filing Date
herewith

Examiner

Group Art Unit
unassigned

Invention: **METHOD FOR CONTROLLING MELT AND METHOD FOR GROWING CRYSTAL**

I hereby certify that the following correspondence:

New PCT Application

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231

September 24, 2001

(Date)

Janet Grossman

(Typed or Printed Name of Person Mailing Correspondence)

Janet Grossman

(Signature of Person Mailing Correspondence)

EL793482032US

("Express Mail" Mailing Label Number)

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